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\*LIMITED TO MATTERS  
AND PROCEEDINGS BEFORE  
FEDERAL COURTS & AGENCIES  
\*\*REGISTERED PATENT AGENT  
\*\*\*SENIOR COUNSEL

August 6, 2001

WRITER'S DIRECT NUMBER:

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INTERNET ADDRESS:

DONF@SKGF.COM

Commissioner for Patents  
Washington, D.C. 20231

Box Patent Application

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
Appl. No. To be assigned; Filed: Herewith  
For: **Multi-tone Transmission**  
Inventor: Mark Taunton  
Our Ref: 1875.1780000

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Fee Transmittal (Form PTO/SB/17) (*in duplicate*);
2. PTO Utility Patent Application Transmittal (Form PTO/SB/05);
3. U.S. Utility Patent Application entitled:

**Multi-tone Transmission**

and naming as inventor:

Mark Taunton

the application consisting of:

The PTO did not receive the following  
listed item(s) *Transmittal*

Commissioner for Patents

August 6, 2001

Page 2

- a. A specification containing:
    - i. 30 pages of description prior to the claims;
    - ii. 8 pages of claims (24 claims, 7 independent);
    - iii. a one (1) page abstract;
  - b. 2 sheets of drawings: (Figures 1-3);
  - c. An original executed Declaration for Patent Application; and
  - d. An Application Data Sheet;
4. Authorization to Treat a Reply as Incorporating an Extension of Time under 37 C.F.R. § 1.136(a)(3) (*in duplicate*);
  5. Recordation Form Cover Sheet;
  6. An original executed Assignment to Broadcom Corporation, recordation of which is hereby respectfully requested;
  7. An Information Disclosure Statement (IDS);
  8. Form PTO-1449 (1 page) with four (4) accompanying documents;
  9. Two (2) return postcards; and
  10. Our check No. 32141 for \$ 1142.00 to cover:
    - \$ 710.00 Filing fee for patent application;
    - \$ 40.00 Assignment recordation fee; and
    - \$ 392.00 fee for excess claims.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

Commissioner for Patents  
August 6, 2001  
Page 3

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Donald J. Featherstone  
Attorney for Applicant  
Registration No. 33,876

DJF/mmb  
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SKGF Rev 8/1/00 mac

11/03/01 10:00 AM

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No	1875.1780000
First Inventor	Mark Taunton
Title	Multi-tone Transmission
Express Mail Label No	

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.

3. ☒ Specification [Total Pages 39]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]

5. ☒ Oath or Declaration [Total Pages 2]

- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR §§  
1.63(d)(2) and 1.133(b).

6. ☒ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program  
(Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Two Return Receipt Postcards (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
17. ☒ Other: Authorization under 37 C.F.R. § 1.136(a)(3)
- ☒ Other: The name of the assignee is: Broadcom Corporation

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No: \_\_\_\_/\_\_\_\_\_  
Prior application information: Examiner \_\_\_\_\_ Group/Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts

**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

Customer No. 26111

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.				
	Attorneys at Law				
ADDRESS					
CITY		STATE		ZIP CODE	
COUNTRY		TELEPHONE		FAX	

NAME (Print/Type)	Donald J. Featherstone	Registration No. (Attorney/Agent)	33,876
SIGNATURE	<i>Donald J. Featherstone</i>	Date	8/6/01

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<h2 style="margin: 0;">FEE TRANSMITTAL</h2> <h3 style="margin: 0;">for FY 2001</h3> <p style="margin: 5px 0 0 40px;"><i>Patent fees are subject to annual revision</i></p>		<b>Complete if Known</b>													
<b>TOTAL AMOUNT OF PAYMENT</b>		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td style="width: 50%;">To be assigned</td> </tr> <tr> <td>Filing Date</td> <td>Herewith</td> </tr> <tr> <td>First Named Inventor</td> <td>Mark Taunton</td> </tr> <tr> <td>Examiner Name</td> <td>To be assigned</td> </tr> <tr> <td>Group Art Unit</td> <td>To be assigned</td> </tr> <tr> <td>Attorney Docket No.</td> <td>1875.1780000</td> </tr> </table>		Application Number	To be assigned	Filing Date	Herewith	First Named Inventor	Mark Taunton	Examiner Name	To be assigned	Group Art Unit	To be assigned	Attorney Docket No.	1875.1780000
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METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																	
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Deposit Account Number</td> <td>19-0036</td> </tr> <tr> <td>Deposit Account Name</td> <td>Sterne, Kessler, Goldstein &amp; Fox P L L C</td> </tr> </table> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check   <input type="checkbox"/> Credit card   <input type="checkbox"/> Money Order   <input checked="" type="checkbox"/> Other*</p> <p><small>*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036</small></p>	Deposit Account Number	19-0036	Deposit Account Name	Sterne, Kessler, Goldstein & Fox P L L C	<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th></th> </tr> </thead> <tbody> <tr> <td>Fee Code</td> <td>Fee Code</td> <td>Fee Description</td> </tr> <tr> <td>Fee (\$)</td> <td>Fee (\$)</td> <td>Fee paid</td> </tr> <tr><td>105</td><td>130</td><td>205 65 Surcharge - late filing fee or oath</td></tr> <tr><td>127</td><td>50</td><td>227 25 Surcharge - late provisional filing fee or cover sheet</td></tr> <tr><td>139</td><td>130</td><td>139 130 Non-English specification</td></tr> <tr><td>147</td><td>2,520</td><td>147 2,520 For filing a request for <i>ex parte</i> reexamination</td></tr> <tr><td>112</td><td>920*</td><td>112 920* Requesting publication of SIR prior to Examiner action</td></tr> <tr><td>113</td><td>1,840*</td><td>113 1,840* Requesting publication of SIR after Examiner action</td></tr> <tr><td>115</td><td>110</td><td>215 55 Extension for reply within first month</td></tr> <tr><td>116</td><td>390</td><td>216 195 Extension for reply within second month</td></tr> <tr><td>117</td><td>890</td><td>217 445 Extension for reply within third month</td></tr> <tr><td>118</td><td>1,390</td><td>218 695 Extension for reply within fourth month</td></tr> <tr><td>128</td><td>1,890</td><td>228 945 Extension for reply within fifth month</td></tr> <tr><td>119</td><td>310</td><td>219 155 Notice of Appeal</td></tr> <tr><td>120</td><td>310</td><td>220 155 Filing a brief in support of an appeal</td></tr> <tr><td>121</td><td>270</td><td>221 135 Request for oral hearing</td></tr> <tr><td>138</td><td>1,510</td><td>138 1,510 Petition to institute a public use proceeding</td></tr> <tr><td>140</td><td>110</td><td>240 55 Petition to revive - unavoidable</td></tr> <tr><td>141</td><td>1,240</td><td>241 620 Petition to revive - unintentional</td></tr> <tr><td>142</td><td>1,240</td><td>242 620 Utility issue fee (or reissue)</td></tr> <tr><td>143</td><td>440</td><td>243 220 Design issue fee</td></tr> <tr><td>144</td><td>600</td><td>244 300 Plant issue fee</td></tr> <tr><td>122</td><td>130</td><td>122 130 Petitions to the Commissioner</td></tr> <tr><td>123</td><td>130</td><td>123 130 Petitions related to provisional applications</td></tr> <tr><td>126</td><td>180</td><td>126 180 Submission of Information Disclosure Stmt</td></tr> <tr><td>581</td><td>40</td><td>481 40 Recording each patent assignment per property (times number of properties)</td></tr> <tr><td>146</td><td>710</td><td>246 355 Filing a submission after final rejection (37 CFR 1.129(a))</td></tr> <tr><td>149</td><td>710</td><td>249 355 For each additional invention to be examined (37 CFR 1.129(b))</td></tr> <tr><td>179</td><td>710</td><td>279 355 Request for Continued Examination (RCE)</td></tr> <tr><td>169</td><td>900</td><td>169 900 Request for expedited examination of a design application</td></tr> </tbody> </table> <p>Other fee (specify):</p> <p>Other fee (specify):</p> <p>*Reduced by Basic Filing Fee Paid</p>	Large Entity	Small Entity		Fee Code	Fee Code	Fee Description	Fee (\$)	Fee (\$)	Fee paid	105	130	205 65 Surcharge - late filing fee or oath	127	50	227 25 Surcharge - late provisional filing fee or cover sheet	139	130	139 130 Non-English specification	147	2,520	147 2,520 For filing a request for <i>ex parte</i> reexamination	112	920*	112 920* Requesting publication of SIR prior to Examiner action	113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	115	110	215 55 Extension for reply within first month	116	390	216 195 Extension for reply within second month	117	890	217 445 Extension for reply within third month	118	1,390	218 695 Extension for reply within fourth month	128	1,890	228 945 Extension for reply within fifth month	119	310	219 155 Notice of Appeal	120	310	220 155 Filing a brief in support of an appeal	121	270	221 135 Request for oral hearing	138	1,510	138 1,510 Petition to institute a public use proceeding	140	110	240 55 Petition to revive - unavoidable	141	1,240	241 620 Petition to revive - unintentional	142	1,240	242 620 Utility issue fee (or reissue)	143	440	243 220 Design issue fee	144	600	244 300 Plant issue fee	122	130	122 130 Petitions to the Commissioner	123	130	123 130 Petitions related to provisional applications	126	180	126 180 Submission of Information Disclosure Stmt	581	40	481 40 Recording each patent assignment per property (times number of properties)	146	710	246 355 Filing a submission after final rejection (37 CFR 1.129(a))	149	710	249 355 For each additional invention to be examined (37 CFR 1.129(b))	179	710	279 355 Request for Continued Examination (RCE)	169	900	169 900 Request for expedited examination of a design application
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104	270	204	135	Multiple dependent claim																																																																																														
108	80	209	40	**Reissue independent claims over original patent																																																																																														
110	18	210	9	**Reissue claims in excess of 20 and over original patent																																																																																														
<b>SUBTOTAL (2)</b>					<b>(\$) 392.00</b>																																																																																													

SUBMITTED BY		Complete (if applicable)			
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Signature		Date	8/6/01		